

*Guidance*  
*For Obtaining Approval*  
*For the Movement*  
*of Classified Materials*  
*By Common Carrier*

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**Prepared by:**

**The DOE Transportation Management Council**

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Because of the sensitive nature of business conducted by the Department of Energy, it is necessary to transport classified materials throughout the country in support of the department's missions. Operations personnel are frequently faced with the challenge of moving these materials in a timely manner though faced with limited resources to support this activity. Although security processes are presently in place to approve carriers for the movement of classified materials, studies show transportation operations personnel responsible for making the shipments do not readily know these processes. This document is intended to provide insight as to the proper procedures that must be followed to sponsor a new carrier of classified material or use an existing carrier sponsored by a different facility. This document is intended as guidance only and is certified to correctness as of the date issued.

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The process to obtain security approval to add a carrier to the approved list of common carriers available to ship classified material includes the following components:

**Sponsoring Organization**

**Contract Mechanism**

**Available Clearances**

**FOCI Determination**

**Facility Clearance**

**Personnel Clearances**

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**Sponsoring Organization**

A sponsoring organization is a subcontractor to DOE, a DOE Area Office, or DOE Headquarters. The sponsoring organization will have the responsibility and ownership throughout the approval process as well as during the performance period. A sponsoring organization is responsible for identifying the contracting method and verifying that their organization has available clearances to be utilized with a Common Carrier. The sponsor must also assist the carrier by providing contacts within DOE Security, obtaining and submitting Foreign Ownership, Control or Influence (FOCI) information, and processing Facility Clearance and Personnel Clearance packages. Additionally, the sponsor is tasked with assisting with notifications to DOE and other subcontractors of acceptance of a

carrier, as well as any changes within the Carrier's Company during the performance period. The sponsoring organization will have the responsibility to notify DOE of any significant changes affecting the carrier. Examples of these types of changes would include change in company name, location, or key personnel. The DOE area office of the sponsoring organization will send out reminder notifications when a FOCI is about to expire. FOCI having no changes associated with them must be reinvestigated every 5 years.

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Several forms are required to be completed in the process of obtaining security approval for a carrier of classified material. The FOCI form, Contract Security Classification Specification (CSCS) form, Non Possessing Facility form, and Justification form must be completed and processed in order to become a sponsoring organization for a Common Carrier. The Justification form is actually the statement put on the FOCI that tells them the reasons, and the level of classified you want to move. You must tell them the frequency of the moves also.

These forms can be found online at the following locations:

**FOCI:** [www.oakridge.doe.gov/ssd/FOCI/foci.htm](http://www.oakridge.doe.gov/ssd/FOCI/foci.htm)  
**CSCS:** <http://ntser3.cad.ornl.gov/tmcweb/forms.htm>  
**Non Possessing Facility:** <http://ntser3.cad.ornl.gov/tmcweb/forms.htm>

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### **Contract Mechanism**

A contract is any agreement between the Federal Government and any industrial, educational, commercial, or other entity, grantee, or licensee (including an individual) for the purpose of performing under a contract, license, or other agreement. This includes subcontractors of any tier, consultants, agents, grantees, and cooperative agreement participants. The contract mechanism may include, purchase orders, leases, basic ordering agreements, MOU's and Transportation Bills of Lading. The method that will be utilized as a contractual mechanism for Common Carriers is the Transportation Bill of Lading.

### **Available Clearances**

A limited number of clearances are available for each DOE/contractor facility. Initially, local site security personnel should be contacted to determine if any clearances are available at the requesting location. Failure to secure availability of new clearances at a given location will preclude any further attempts to sponsor a carrier by that organization.

### **FOCI Determination**

The FOCI form must be forwarded to the carrier for completion by their organization. The purpose of this form is to obtain information concerning the extent, if any, of foreign ownership or influence on operation of their company. This completed form will be returned to DOE security at the site's local area office.

### **Facility Clearances**

Facility clearances for Common Carriers fall into the category of Non Possessing Facilities. The key in making this determination is the fact that no material will be held overnight at their facility. The Non Possessing Facility form must be forwarded to the carrier for completion by their organization. This completed form will also be returned to DOE security at the site's local area office.

The sponsoring organization is responsible for completing the CSCS form and the justification memo. Again, this information should be sent to DOE security at the site's local area office.

### **Personnel Clearances**

The personnel security documents for individual clearances should be given to the Carrier by the sponsoring organization along with the other required forms. These completed forms should be submitted to DOE at the same time as the FOCI determination Package. The FOCI determination usually requires less time for completion than that of the personnel security investigations. Should the personnel security clearances be completed first, DOE will hold them until the FOCI is approved; however, these actions can occur simultaneously. When DOE has determined favorable FOCI they will notify the sponsoring organization and the carrier. When all steps in the process are successfully completed, the carrier will be entered into the Safeguards and Security Information Management System (SSIMS) system as an approved carrier.

Under an agreement with the Transportation Management Council (TMC), when a new carrier is entered into SSIMS, the DOE/AL security staff will send a notification to TMC representative. The TMC will then notify other affected facilities.

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### **Use of an Approved Carrier by a Non-Sponsoring Organization**

Even though a carrier is approved to transport classified materials for a sponsoring organization, other facilities are not permitted to use this carrier unless certain action is taken. A non-sponsoring organization must acknowledge an interest utilizing a particular carrier by registering with SSIMS through submission of a CSCS form. DOE-AL security manages the SSIMS for the complex, and they can provide a copy of the Facility Data and Approval Record (FDAR) on the carrier requested. The carrier will be registered in the FDAR showing the level of classified material they are approved to transport. The CSCS form should only indicate the level of classification to actually be shipped with that carrier even though the carrier may be approved to transport a higher level of classified material. Failure to register an interest in a carrier sponsored by another organization will result in lack of security authorization to utilize their services.

### **Additional Information**

As a non-sponsoring organization, utilization of another approved common carrier requires that the local security division be given information to extend the driver's personnel security clearances to your facility. The local security divisions can provide the applicable forms upon request.

Each time you utilize a common carrier for shipment of classified materials, their approval must be verified through SSIMS. The data contained in SSIMS is only valid for thirty days.

This guidance document is intended to provide a starting point in developing a common carrier base for the movement of classified materials. Whereas the processes identified herein are valid at the national level, some sites and Area Offices are subject to additional local policies and procedures. Actions suggested in this document should therefore be verified for conformance at the local level.

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